



Republic of the Philippines
Department of Education
 REGION IV-A CALAVARZON

RISK REGISTRY
 Effective as of July 25, 2023

A. Office of the Regional Director

B. Risk Registry

No	Risk Identification			Risk Analysis & Risk Evaluation			Risk Treatment			Target Risk Assessment (after treatment)		
	Declared Process & Risk Description	Risk Causes & Consequences	Current controls	Likelihood (L)	Impact (I)	Risk Rating (RR)	Action/Response	Person/Office Responsible	Target Date	L	I	RR
1.	Declared Process <ul style="list-style-type: none"> Evaluation, Investigation, Review, and/or Resolution of Complaints /Cases of DepEd 	Risk Causes <ul style="list-style-type: none"> Increased number of complaints, reports received and request of Certification of No Pending Case 	<ul style="list-style-type: none"> Need technical support staff (Contract of Service/Job Order) 	3	5	15 (High)	<ul style="list-style-type: none"> Hired technical support staff (Contract of Service/Job Order) 	Regional Director, Finance, HRDD, Legal Unit Regional Director, PAU, SDO	January 2023	2	3	6



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	<p>Officials, Teaching, and Non-teaching Personnel (Acting on the FFIR, and FIR on Complaints against Teaching Personnel in the Region and Teaching-related and non-teaching personnel in the RO (Legal)</p> <ul style="list-style-type: none"> Processing of Certificate of No-pending Case and Authority to 	<ul style="list-style-type: none"> Increase number of functions or duties of personnel <p>Consequences</p> <ul style="list-style-type: none"> Delay in the review and drafting of Resolution/Decision on complaints and/or administrative cases Delay in the preparation, verification and releasing of CNP Delay in addressing concerns received through Public Assistance Action Center 	<ul style="list-style-type: none"> Distribution of tasks among personnel 				<ul style="list-style-type: none"> Retain detailed personnel in PAU 	Rizal Province				

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	Travel Abroad (Legal) <ul style="list-style-type: none"> Private Education Regulations and Development: Review and Development of Policies, Operation and Closure (temporary/permanent), Permit/Recognition - a, b, & c (Legal) Public Relations and Assistance 											

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	Risk Description Insufficient number of regular or plantilla positions in the ORD											
2.	Declared Process • Evaluation, Investigation, Review, and/or Resolution of Complaints/Cases of DepEd Officials, Teaching, and Non-teaching Personnel: ((h) Conducting Preliminary Investigation on Complaint against DepED Officials, Teaching Personnel in the Region and Teaching-related and non-teaching personnel in the RO, (i) Conducting fact-possible	Risk Causes Legal office is too small Consequences Other clients/third persons can overhear confidential information and discussion inside the Legal Unit; breach of security and confidentiality of information	Resorted to online investigation/conference	5	2	10 (High)	Temporary use of other rooms like the bulwagan, and ORD's conference room if available; observe extra caution in conducting online investigation/conference; request to transfer Legal Office to a bigger or spacious room with a	Regional Director/Administrative Division	Year-round	4	1	5

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	<p>amicable settlement on Complaint against DepED Officials, Teaching Personnel in the Region and Teaching-related and non-teaching personnel in the RO , & (j) Conducting fact-finding investigation on Complaint against DepED Officials, Teaching Personnel in the Region and Teaching-related and non-teaching personnel in the RO (Legal)</p> <p>Risk Description Limited office space</p>						separate room, or if not possible, renovation of the Legal Office					

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3.	Declared Process Materials Production Risk Description Lack of trained personnel for technical work	Risk Causes Processes in PAU especially for IEC production need training in content creation Consequences Materials produced may not be of quality	Use of Canva provides various option of designs Other PAU personnel provide technical assistance	2	3	6 (Medium)	Continuous provision of technical assistance to PAU personnel	PAU/ICT	Year-round	2	1	1
4.	Declared Process Evaluation, Investigation, Review, and/or Resolution of Complaints/Cases of DepEd Officials, Teaching, and Non-teaching Personnel ((a) Commencing Administrative Cases against DepEd Officials, Teaching	Risk Causes Lack of awareness to the existing DepEd rules and regulations, and laws; vexatious complainant Consequences Additional work load; additional technical work staff; unnecessary delay in the disposition of other cases	Strict compliance with the rules and procedures of DepEd; letter responses	5	4	20 (Medium)	Observe caution in dealing with the complaints received and complainants/clients	ORD and Legal	Year-round	4	3	12

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	Personnel in the Region and Teaching-related, Non-Teaching Personnel in the RO) Risk Description Increasing number of administrative cases filed against teaching personnel and private schools.											
5.	Declared Process Evaluation, Investigation, Review, and/or Resolution of Complaints/Cases of DepEd Officials, Teaching, and Non-teaching Personnel ((a) Commencing Administrative	Risk Causes Increase of complaints and submitted FFIR and FIR for review at the RO Consequences Work burn-out of legal personnel; increased stress level	Need technical support staff (Contract of Service/Job Order)	5	3	15 (High)	Hire additional technical support staff	Regional Director, Administrative Service Division, Finance, HRDD, Legal Unit	Starting January 2023	3	2	6

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	Cases against DepEd Officials, Teaching Personnel in the Region and Teaching-related, Non-Teaching Personnel in the RO;(b)Acting on the FFIR , and FIR on Complaints against Teaching Personnel in the Region and Teaching-related and non-teaching personnel in the RO (Legal) Private Education Regulations and Development: Review and Development of Policies; Operation and Closure (temporary/permanent), Permit/Recognition - a, b, & c											

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	Risk Description Voluminous administrative cases, complaints, and related concerns.											
6.	Declared Process <ul style="list-style-type: none"> Correcting Entries in the School Record; Processing Certificate of No-pending Case and Authority to Travel Abroad (LEGAL) Risk Description Strict ARTA timeline.	Risk Causes Bulk request of Certificate of No Pending Case both from email, walk-in client and through Personnel Section Consequences Delay in the processing, verifying, and release of CNP; the Legal Unit Personnel are prone or vulnerable to admin. complaint	Need support staff (Job Order)	5	3	15 (High)	Hire technical support staff (for CNP only)	Regional Director, Administrative Service Division, Finance, HRDD, Legal Unit		3	2	6
7.	Declared Process Management of Technology Infrastructure	Risk Causes Fund , policy	Use on-premises server	4	3	12 (High)	ICT Personnel	ICT Unit	Jan-Dec 2023	3	3	9

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	Risk Description Insufficient ICT infrastructure (cloud storage)	Data loss, downtime, Data Security Vulnerabilities, Lack of Scalability, Inadequate Data Backup and Recovery, Limited Accessibility and Data Management Challenges Consequences Data loss, downtime, Data Security Vulnerabilities, Limited Accessibility and Data Management Challenges, poor performance, limited accessibility, Inadequate Disaster Recovery, Operational Disruption, and Security Measures										

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8.	<p>Declared Process Management of Technology Infrastructure</p> <p>Risk Description Unavailability of ISSP</p>	<p>Risk Causes Lack of direction, budget Allocation, Operational Inefficiencies, Change Management Challenges, Difficulty in Measuring Success</p> <p>Consequences Lack of direction, missed opportunities, ineffective decision making, operation inefficiency, security and compliance risk, change management challenges and limited innovation.</p>	Work Financial Plan	5	5	25 (High)	ICT Personnel	ICTS Central Office	Dec 2023	3	3	9

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9.	<p>Declared Process User Support/Help Desk</p> <p>Risk Description Limited software license</p>	<p>Risk Causes Policy and Fund</p> <p>Consequences Reduced Productivity, Inefficient Workflow, increase manual work, data loss and corruption, Security Vulnerabilities, Compatibility Issues, Missed Opportunities, Operational Inefficiencies and User Frustration</p>	Use free software or no copy right	4	4	16 (High)	ICT Personnel	ICT Unit	Jan-Dec 2023	4	3	12
10.	<p>Declared Process User Support/Help Desk</p> <p>Risk Description</p>	<p>Risk Causes Geological Events, Weather-Related Events, Man-Made Calamities like Cyberattacks, Data Breaches, Insider</p>	Use the raid back-up copies, data firewall, fingerprint door Lock accessible only by the ICT Personnel	4	3	12 (High)	ICT Personnel	All office	Jan-Dec 2023	3	3	9

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	Occurrence of natural and manmade calamities	<p>Threats, Physical Sabotage, Human Error, Power Outages, Environmental Factors</p> <p>Consequences For natural calamities : downtime, data loss, hardware damage, loss of connectivity, inaccessible data center, and loss of business continuity For man-made: cyber attack, data breaches, physical sabotage, inner threats, power outage, and human error.</p>										
11.	<p>Declared Process User Support/Help Desk</p> <p>Risk Description</p>	<p>Risk Causes Vulnerability to Cyber Threats: Outdated Software, Weak or</p>	Data Firewall and SSL for the in-house system, Memo to the field for the reporting and prevention(RM 429 s. 2023)	5	4	20 (High)	ICT Personnel	All Personnel	Jan- Dec 2023	4	4	10

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	Vulnerability to cyber threats and copyright infringement.	Default Passwords, Lack of Patch Management, Inadequate Employee Training, Unrestricted Access, Insecure Network Configurations, Insufficient Security Measures: , Lack of Encryption, and Social Engineering. Copyright Infringement: Unlicensed Software Use, Illegal File Sharing, Plagiarism, Inadequate Copyright Awareness, Failure to Secure Intellectual Property, Cloud Storage Sharing,										

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		<p>Lack of Licensing Agreements, and Third-Party Content.</p> <p>Consequences Vulnerability to Cyber Threats:</p> <p>Data Breaches, Financial Loss, Operational Disruption, Legal Consequences, Reputation Damage, Regulatory Sanctions, Loss of Intellectual Property, Cyber Insurance Costs, Data Recovery Costs, Customer and Employee Concerns</p> <p>Copyright Infringement:</p> <p>Legal Action, Loss of Reputation,</p>										

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		Financial Consequences, Cease and Desist Orders, Loss of Licensing Opportunities, and Restrictions on Content Use										

Prepared by:

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